

Proposal # 2001- <u>L-212</u> (Office Use Only)
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PSP Cover Sheet (Attach to the front of each proposal)

Proposal Title: SEWD & CCWD Fish Screen Facilities - Calaveras River
 Applicant Name: Kevin M. Kauffman
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Amount of funding requested \$ 670,000

Some entities charge different costs dependent on the source of the funds. If it is different for state or federal funds list below.

Statecost N/A

Federal cost N/A

Cost share partners?

X Yes No

Identify partners and amount contributed by each SEWD & CCWD (\$10,000 plus additional efforts)

Indicate the Topic for which you are applying (check only one box).

- | | |
|--|--|
| <input type="checkbox"/> Natural Flow Regimes | <input type="checkbox"/> Beyond the Riparian Corridor |
| <input type="checkbox"/> Nonnative Invasive Species | <input type="checkbox"/> Local Watershed Stewardship |
| <input type="checkbox"/> Channel Dynamics/Sediment Transport | <input type="checkbox"/> Environmental Education |
| <input type="checkbox"/> Flood Management | <input type="checkbox"/> Special Status Species Surveys and Studies |
| <input checked="" type="checkbox"/> Shallow Water Tidal/ Marsh Habitat | <input type="checkbox"/> Fishery Monitoring, Assessment and Research |
| <input type="checkbox"/> Contaminants | <input checked="" type="checkbox"/> Fish Screens |

What county or counties is the project located in? Calaveras & San Joaquin

What CALFED ecozone is the project located in? See attached list and indicate number. Be as specific as possible 11 - East Side Delta Tributaries

Indicate the type of applicant (check only one box):

- | | |
|---|---|
| <input type="checkbox"/> State agency | <input type="checkbox"/> Federal agency |
| <input type="checkbox"/> Public/Non-profit joint venture | <input type="checkbox"/> Non-profit |
| <input checked="" type="checkbox"/> Local government/district | <input type="checkbox"/> Tribes |
| <input type="checkbox"/> University | <input type="checkbox"/> Private party |
| <input type="checkbox"/> Other: _____ | |

Indicate the primary species which the proposal addresses (check all that apply):

- ☒ San Joaquin and East-side Delta tributaries fall-run chinook **salmon**
- | | |
|--|--|
| <input type="checkbox"/> Winter-run chinook salmon | <input type="checkbox"/> Spring-run chinook salmon |
| <input type="checkbox"/> Late-fall run chinook salmon | <input type="checkbox"/> Fall-run chinook salmon |
| <input type="checkbox"/> Delta smelt | <input type="checkbox"/> Longfin smelt |
| <input type="checkbox"/> splittail | <input type="checkbox"/> Steelhead trout |
| <input type="checkbox"/> Green sturgeon | <input type="checkbox"/> Striped bass |
| <input checked="" type="checkbox"/> White Sturgeon | <input type="checkbox"/> All chinook species |
| <input type="checkbox"/> Waterfowl and Shorebirds | <input type="checkbox"/> All anadromous salmonids |
| <input type="checkbox"/> Migratory birds | <input type="checkbox"/> American shad |
| <input type="checkbox"/> Other listed T/E species: _____ | |

Indicate the type **of** project (check only one **box**):

- | | |
|---|---|
| <input type="checkbox"/> Research/Monitoring | <input type="checkbox"/> Watershed Planning |
| <input type="checkbox"/> Pilot/Demo Project | <input type="checkbox"/> Education |
| <input checked="" type="checkbox"/> Full-scale Implementation | |

Is this a next-phase of an ongoing project?

Yes ____ No X

Have you received funding from CALFED before?

Yes ____ No X

If yes, list project title and CALFED number: _____

Have you received funding from CVPIA before?

Yes ____ No X

If yes, list CVPIA program providing funding, project title and CVPIA number (if applicable):

By signing below, the applicant declares the following:

- The ~~truthfulness~~ of all representations in their proposal;
- The individual signing the form is entitled to submit the application on behalf of the applicant (if the applicant is an entity or organization); and
- The person submitting the application has read and understood the conflict of interest and confidentiality discussion in the PSP (Section 2.4) and waives any and all rights to privacy and confidentiality of the proposal on behalf of the applicant to the extent as provided in the Section.

Kevin Kauffman

Printed name of applicant

Kevin Kauffman

Signature of applicant

Grant Application

**Stockton East Water District and Calaveras
County Water District
Fish Screen Facilities — Calaveras River**

Prepared for

CALFED

Bay-Delta Program Office
1416 Ninth Street, Suite 1155
Sacramento, California 95814

May 15, 2000

Executive Summary

Title of Project and Amount Requested

Stockton East Water District and Calaveras County Water District Fish Screen Facilities – Calaveras River

Amount Requested \$670,000

Applicant

Stockton East Water District (also filing on behalf of Calaveras County Water District)

6767 East Main Street

P.O. Box 5157

Stockton, CA 95205

Contact: Kevin Kauffman, General Manager

Phone: 209/948-0333; **Fax:** 209/948-0423; **E-mail:** sewd@pacbell.net

Participants and Collaborators

Calaveras County Water District (CCWD)

Project Description

This full-scale restoration action implementation project involving new fish screens is in the Calaveras River Ecological Unit of the Eastside Delta Tributaries Ecological Management Zone (Figure 1). Twenty-nine unscreened diversions exist between Bellota and New Hogan Dam, which are within the service areas of the Stockton East Water District (SEWD) and Calaveras County Water District (CCWD). Included in these diversions is a 75-cfs diversion near Bellota where SEWD diverts water to its water treatment plant (WTP) to serve the City of Stockton and surrounding communities. The project objective is to correct fish passage problems, such as entrainment losses, by screening these diversions.

SEWD and CCWD envision a four-phase approach: Phase I, feasibility study; Phase II, preliminary design; Phase III, final design; and Phase IV, construction. The hypothesis to be tested is that screening contributes to fisheries enhancement in the Calaveras River below New Hogan Dam through reduced potential for entrainment. Uncertainties involve the potential for consolidating some of the intakes that need to be screened and siting the screen at the SEWD water treatment plant (WTP) intake. The expected outcomes of Phase I are a series of technical memoranda on the various alternatives, order-of-magnitude cost estimates, and a preliminary list of the permitting and environmental requirements and constraints. The anticipated outcomes of the project as a whole are construction and operation of the fish screens and a data collection and monitoring program to evaluate the project's success.

The project is explicitly linked to CALFED goals of achieving recovery of at-risk native species and maintaining and enhancing their populations. The specific stressors, targets, and programmatic actions that this project addresses are listed in the February 1999 CALFED ERPP, Volume II, pages 380-81.

Figure 1 - Location Map

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-- CALVERAS RIVER (PROJECT REACH)

BELLOTA WEIR COORDINATES:
 LATITUDE 38° 3' 12"
 LONGITUDE 121° 0' 43"

FIGURE 1
LOCATION MAP
 CALIFED GRANT APPLICATION
 SEWD AND CCWD FISH SCREENS

Project Description

With this application, the **SEWD** is requesting funding for **Phases I** and **II** of the project described below, the feasibility study and preliminary design phases, respectively.

Statement of Problem

Problem

Twenty-nine operating diversion structures exist between Bellota and New Hogan Dam on the Calaveras River, including **21** diversions that are part of the SEWD system and 8 that are part of the CCWD system. These diversions employ a combination of centrifugal slant pumps and vertical turbine pumps. Some diversions are located in spawning and rearing habitat for fall-run chinook salmon. The largest, near Bellota, operates year-round and diverts up to 75 cfs to the **SEWD** WTP to supply the City of Stockton and surrounding communities. This facility initially had a CDFG fish screen; however, the screen proved to be inoperable at higher flows and was subsequently removed and has never been replaced. In 1990, CCWD provided fish protection at their WTP diversion facility below New Hogan Dam.

Downstream migrating juvenile fish may be subject to losses in unscreened diversions (CALFED ERPP, Volume **II**, February 1999, page 365). To prevent fish entrainment losses, the SEWD and CCWD recognize the need to screen their presently unscreened diversions.

The Districts are currently consulting informally with federal and state regulators to discuss possible changes in the operation of New Hogan Dam, to initiate enhancement actions in the watershed to protect any threatened and endangered species, and to ensure reliable water supplies for the Districts. Formal Endangered Species Consultations may be initiated after the proposed NMFS **4** (D) rules for Central Valley steelhead protection become final in June 2000. During the irrigation season, SEWD controls releases from New Hogan Reservoir and is presently operating under a NMFS-approved interim operating plan designed to protect potential spawning and rearing areas in the river between Bellota and New Hogan Dam and to prevent stranding of juvenile fish due to rapid flow changes resulting from reservoir operations.

Although proposed enhancement actions on the Calaveras River below the flow split at Bellota are currently unknown, physical actions may be needed from Bellota upstream to New Hogan Dam (i.e., installing fish screens). Screening diversions in this upper reach of the river represents a significant investment in both District and public funds and requires a longer lead time to implement as compared to many other actions. Therefore, funding for fish-protective screening facilities must begin immediately.

Conceptual Model

This project will eliminate fish entrainment through screening of presently unscreened diversions. Reducing entrainment will directly benefit fish (see Figure 2). Entrainment is a known stressor that, when eliminated, combined with other factors, will help enhance the fishery. Plans will be developed to monitor existing fish populations, spawning activity, rearing, and habitat limitations to help determine the relative impacts of entrainment losses to the population. Very little fisheries information exists in this watershed to date; however, through District monitoring actions currently being initiated, these data will become available and will assist in measuring the fishery enhancement and developing adequate monitoring plans.

Hypotheses Being Tested

The hypothesis to be tested is that screening contributes to fisheries enhancement in the Calaveras River between Bellota and New Hogan Dam by reducing entrainment losses. SEWD has retained a consultant to conduct fisheries investigations and habitat assessments related to this effort. Monitoring data related to potential fisheries habitat at each of the proposed sites will be collected through these ongoing fisheries investigations. Fish entrainment data will not be included as part of Phases I and II because the chances of collecting statistically significant data given the existing fish population size are unlikely. However, provisions and facilities for monitoring individual diversion facilities will be incorporated into the final design of several facilities to monitor entrainment losses, if any. In Phases I and II, data will be collected on diversion size (pump or gravity flow), ratio of river flow to diversion flow during operation, diversion use, proximity to any rearing and spawning habitat, and facility cost. This information will be used to identify screening priorities and contribute to screen design. The project will help address CALFED fisheries restoration goals discussed in the ERPP and goals of the USFWS Anadromous Fish Restoration Program (USFWS, 1997). Pre- and post-project monitoring will help to evaluate the success of the project toward meeting these goals and will improve currently limited knowledge of fish populations and survival rates in the Calaveras River and the effects of diversions—and the screening of diversions—on them.

Adaptive Management

As a full-scale implementation project, this fish screen project reflects previous and ongoing research on the topic of screening intakes to reduce or prevent problems such as entrainment and increased predation. The use of fish screens to address these problems is well-established, and the CALFED ERPP specifically identifies Class III targets and recommends programmatic actions consisting of the installation of fish screens on the Calaveras River and Mormon Slough and at Bellota Dam (CALFED ERPP, Volume II, February 1999, pages 380-81). Thus, CALFED supports the concept of the proposed project and presumably considers the scientific basis for fish screens to have been adequately established.

CALFED's Strategic Plan for Ecosystem Restoration (February 1999, page 11) states that "The key to successful adaptive management is learning from all restoration and management actions. . . Subsequent restoration actions can then be revised or redesigned to be more effective or instructive." The adaptive management process provides the opportunity during Phase I, the feasibility study, to evaluate the best possible solutions, considering site conditions, flow rates, intake configurations, pumping rates and schedules, and constructibility. Phase II analysis will prioritize diversions for screening, consider the potential opportunities to consolidate diversion points, evaluate channel improvements to improve fish screen function, and integrate the facilities with other proposed restoration actions. The entire range of screen designs also will be considered, including retrievable screens that can be removed from the channel during seasons when irrigation withdrawals do not occur.

Educational Objectives

This project does not have a primarily educational focus. However, a strong public involvement process is envisioned. Both SEWD and CCWD have notified their water users of the need to screen diversions and are presently working with their customers and individual landowners to minimize diversion disruptions while seeking fish protection solutions. SEWD and CCWD will include project updates and informational items in quarterly newsletters to its agricultural, domestic, and urban contracting customers. CCWD also provides a newsletter to its customers. Information and the newsletter will also be posted on the SEWD's website, www.sewd.net. The NEPNCEQA process will include a public outreach element, public hearings, press releases, and public review of and comment on the draft environmental impact document.

Proposed Scope of Work

Location and/or Geographic Boundaries

The project is in the Calaveras River Ecological Unit of the Eastside Delta Tributaries Ecological Management Zone in San Joaquin and Calaveras counties. Figure 1 shows the project location and Bellota Dam coordinates. Aerial and ground-level photos of the site, Figure 3 and 4, are shown below. Figure 5 shows existing project site conditions schematically.

Approach

SEWD and **CCWD** believe that installation of fish screens will incrementally improve fisheries in the Calaveras River. This protection will be particularly important in drought years when irrigators may draw a proportionally higher percentage of flow from the river. Site assessments will be conducted at each site, including an engineering feasibility analysis of screening facilities at each diversion.

The largest single diversion on the Calaveras River is located at Bellota and serves the **SEWD**'s WTP. It diverts up to 75 cfs year-round for primarily municipal and industrial (M&I) water uses. Because this diversion is located at the flow split between the old Calaveras River channel and Mormon Slough, a number of screening options will be considered at this location. During the irrigation season, the Bellota weir (a seasonal flashboard dam) is constructed at this site to control water levels for the WTP intake and to regulate flow splits between the two channels (Mormon Slough and the old Calaveras River channel). Fish screen options here include providing a screen facility across the WTP intake or screening the entire Mormon Slough channel during the irrigation season. Between spring and fall, flows below the Bellota weir are for both M&I and agricultural diversions. If the entire Mormon Slough were screened, bypass flows could be provided down the old Calaveras River. This option could reduce the total number of potential fish facilities to maintain and operate; however, because the facility would be located in an existing flood control channel, the approximately 300-cfs screen must be removed during the flood control season to allow up to 12,500-cfs flows.

The final design of the selected alternative for Bellota may be influenced by downstream enhancement actions and decisions currently being explored in other forums. Screening the entire Mormon Slough channel during the irrigation season will protect the 75-cfs **SEWD** WTP diversion and downstream diversions, which total approximately 225-cfs maximum flow. Any fish screen design at Bellota will likely feature flat-plate, wedge-wire screen panels with automated cleaning and control systems, remote monitoring capabilities, facility access for maintenance, effective cleaning systems, public safety features, facility protection, and corrosion-resistant materials. Additional considerations for screening the entire Mormon Slough flow during the irrigation season will include flood control provisions and operational criteria, because Mormon Slough is the primary flood control channel for the Calaveras River flows.

The other **SEWD** and **CCWD** diversion sites between Bellota and New Hogan Dam consist of smaller agricultural pumps that divert directly out of the river channel. The pump suction intakes, ranging from 6 to 16 inches in diameter, are configured in both vertical and slant orientations and are located along the river shoreline. There are no check dams in this stretch of the river.

The use of a standardized, or "off-the-shelf" pump screen design will be considered to minimize design, installation, operation, and maintenance costs. Screen designs to be considered will feature components that will be corrosion resistant, can be easily monitored (on site or remotely), have effective cleaning systems, and that can be removed easily during the non-irrigation season. All designs will conform to the latest fish screen criteria approved by the California Department of Fish and Game (CDFG, 1997) and

National Marine Fisheries Service (NMFS, 1997).

SEWD and CCWD envision a four-phase approach Phase I, feasibility study; Phase II, preliminary design; Phase III, final design; and Phase IV, construction, all of which are described below. **SEWD** and **CCWD** currently seek funding for **Phases I** and **II**.

Phase I, the feasibility study, will entail environmental reconnaissance surveys, including a reconnaissance-level geotechnical survey, site assessments to identify and preliminarily evaluate design alternatives, development of reconnaissance-level cost estimates, and preliminary mapping. Opportunities will be sought for consolidating some of the intakes, potentially reducing the number of screens that will be needed; relocating diversions if environmentally advantageous; and recommending channel improvements as necessary to improve hydraulic conditions near diversion points. Agency workshops will be conducted to seek agency input and consensus. A preliminary implementation plan and development of a data collection and monitoring plan will be initiated. The expected outcomes of Phase I are a series of technical memoranda on the various alternatives, reconnaissance-level cost estimates, and a preliminary list of the permitting and environmental requirements and constraints.

During Phase II, preliminary engineering design will be completed on three feasible alternatives. The NEPNCEQA process will be initiated, and stakeholder meetings will be held. Alternatives will be screened using environmental and other criteria, including costs, site conditions, flow rates, intake configurations, pumping rates and schedules, and constructibility. Diversions will be prioritized for screening and any opportunities to consolidate diversion points that were identified during site assessments will be considered. Channel improvements to enhance fish screen function will be evaluated, along with opportunities to integrate the facilities with other proposed actions. The entire range of screen designs also will be considered, including retrievable screens that can be removed from the channel during periods when irrigation withdrawals do not occur. Phase II will result in technical memoranda and cost estimates for the alternatives that survive the screening process. The implementation plan and the data collection and monitoring plan will be finalized.

The NEPNCEQA process initiated during Phase II will be completed during Phase III. An outcome of the NEPNCEQA process will be the identification of the preferred alternative, enabling final design to proceed during this phase. Permits identified in earlier phases will be applied for and acquired, and all necessary easement, access, and right-of-way issues will be resolved. Phase III will result in construction contract documents, plans, and specifications, and construction bids may be solicited.

Phase IV will include construction and mitigation of environmental impacts identified in the NEPNCEQA document. The data collection and monitoring plan will be implemented.

Monitoring and Assessment Plans

SEWD and CCWD are involved in a number of watershed and fishery studies that will directly benefit this proposed effort. The Districts are undertaking the Calaveras River Watershed Study with funding under a State Water Resources Control Board (SWRCB) grant. The Districts also have retained a fisheries consultant with District funds to conduct fisheries investigations and monitoring. Monitoring data related to potential fisheries habitat at each of the proposed sites are being collected through these ongoing fisheries investigations by the Districts. Monitoring activities initiated in 1999 through these fisheries studies will form the baseline for recovery efforts. Studies will include snorkel surveys, evaluations of suitable spawning habitat and activity, river temperature studies. The Districts also are supporting efforts to monitor a screw trap at the Bellota site. Fish entrainment data at individual diversion sites will not be included as part of Phases I and II and the chances of collecting statistically significant data given the

existing fish population size are unlikely. However, provisions and facilities for monitoring individual diversion facilities will be incorporated into the final design of several facilities to monitor entrainment losses, if any. Data on diversion size (pump or gravity flow), ratio of river flow to diversion flow during operation, diversion use, proximity to rearing and spawning habitat, and facility cost will be used to identify alternatives.

These data collection and monitoring programs being undertaken under SEWD and CCWD sponsorship will continue during and after the project to provide comparative data before and after implementation. The presently anticipated types of data to be collected and the approach to evaluating the data are shown in Table 1 below. Note that in our Scope of Work, presented below, Task 3 in project Phase I is to produce a draft Data Collection and Monitoring Plan. A final plan would be prepared under Task 5 in Phase II, the preliminary design phase. Relevant data are also likely to be available during the proposed project as a result of other data collection efforts by CDFG, **NMFS**, or USFWS and will be considered as appropriate in the project development and monitoring phases. As noted, the Districts are currently engaged in informal consultation with federal and state regulators to discuss possible changes in the operation of New Hogan Dam and to initiate enhancement actions in the watershed to protect any threatened and endangered species and ensure reliable water supplies for the Districts. Formal Endangered Species Consultations may be initiated after the proposed **NMFS 4 (D)** rules for Central Valley steelhead protection become final in June 2000. During the irrigation season, SEWD controls releases from New Hogan Reservoir and is presently operating under a NMFS-approved interim operating plan designed to protect potential spawning and rearing areas in the river and to prevent stranding of juvenile fish due to rapid flow changes resulting from reservoir operations.

Data Handling and Storage

Data generated by studies undertaken with public funds, such as the SWRCB-funded watershed management study, are available to the public. All data generated under CALFED funding will become public record, including the technical memoranda and NEPNCEQA documentation. This information will be made accessible to cooperating agencies and the public by SEWD and CCWD. Public notices will inform the public of the availability of the NEPNCEQA document for review and comment. Typically, the document would be made accessible in one or more public places in the county, including the public library and at SEWD and CCWD headquarters.

Expected Products/Outcome

Phase I will result in technical memoranda that describe alternatives; potential environmental, permitting, and site constraints; and preliminary cost estimates. Phase II will result in technical memoranda that present preliminary designs and cost estimates for the feasible alternatives, a project implementation plan, and data collection and monitoring plan. Phase III will result in a NEPNCEQA document, decision documents, mitigation and monitoring plan, and construction contract documents. Phase I will include as many as three agency workshops in which SEWD, CCWD, the engineering consultant, and agency representatives will identify and evaluate potential solutions to the fish passage problem and exchange information on state-of-the-art screening and monitoring technologies. Stakeholder workshops will be

Table 1
Monitoring and Data Collection Information

Hypothesis/Question to be Evaluated	Monitoring Parameter(s) and Data Collection Approach	Data Evaluation Approach	Comment/Data Priority
I) Biological/Ecological Objectives: Minimize losses in diversions that limit the recovery of fish populations			
Screening contributes to fisheries enhancement in the Calaveras River between Bellota and New Hogan Dam by reducing entrainment losses	District-sponsored or supported studies will determine fish population, habitat conditions, spawning activity, adult and juvenile migration timing, rearing issues, and lifestage presence. Data on diversion use, pump locations, pump size, and channel hydraulics will also be collected.	Fish protection options (screens, reoperation, consolidation, relocation) at diversion intakes will be evaluated based on their presumed impact on the river's fish population. Data that show high diversion usage, large intake rates, and diversions located in spawning and rearing areas will determine impacts. River sampling and diversion monitoring at sites determined to have the most impact under these criteria will be sampled in later phases.	An assessment of the river fishery must first be established to determine baseline conditions and to identify impacts of the proposed actions (currently underway). A monitoring plan specific to the preferred alternative will be developed in the Data Collection and Monitoring plan. Later project phases will likely include diversion monitoring.

held during Phase II to screen alternatives. In Phase III, public meetings and hearings will be held in conjunction with the NEPA/CEQA process and SEWD's public outreach program.

Work Schedule

The proposed work schedule with milestones is shown in Figure 7. The Phase I feasibility study will be initiated immediately upon grant approval. Should funding be delayed, tasks such as environmental site assessments may be postponed since they are ideally conducted during the spring season. Phase II Preliminary Design could be initiated prior to the end of phase I to expedite the project and reduce project management costs. At the end of each task, a technical memorandum and/or report will be submitted to the project participants and CALFED. Although Phases I and II could be separated, delays in the project phasing could delay the fish screen installations and jeopardize the Districts' ability to deliver water to their customers reliably. The work schedule and cost breakdown for future work phases are not shown due to the project's dependence on other potential river actions that could impact the final design and configuration of facilities and schedule.

Feasibility

The CALFED ERPP (Volume II, February 1999, pages 380-81) recommends installing screens at the diversions from Bellota Dam to New Hogan Dam as Class III targets to meet CALFED restoration goals. Phase I of the project is a feasibility study that will help to identify the best possible fish passage solutions in this reach of the river. Among the criteria that will be used to evaluate the feasibility of specific alternative solutions are site conditions (i.e., diversion size, pump or gravity flow, diversion use, site and

environmental constraints, right-of-way, right-of-access, geotechnical conditions, etc.), flow rates, ratio of river flow to diversion flow during operation, intake configurations, pumping rates and schedules, proximity to prime rearing and spawning habitat, constructibility, and facility cost.

Constraints involving zoning regulations or ordinances are not anticipated. All of the diversions are within SEWD or CCWD service area, and the diverters are customers of the two districts to receive water. SEWD and CCWD have notified their water users of the need for fish screens on their diversions and have access to the diversions for site assessments and feasibility investigations through maintenance agreements with the diverters. The schedule provided in this proposal has been developed to avoid delays relating to environmental compliance and permitting requirements. Anticipated permits and approvals and right-of-way/access issues will be identified early, during the Phase I feasibility study, and the NEPNCEQA document will be initiated in Phase II in conjunction with preliminary design. The NEPNCEQA document will be completed during Phase III, final design, during which permits and approvals and right-of-way will be secured. Although weather can potentially affect the construction schedule, the overall project schedule is designed to avoid delays that could occur prior to the initiation of construction (i.e., permitting, environmental documentation, etc.). Assuming no delays in funding, the project is expected to progress as indicated in our schedule.

Scope of Work

Phase I—Feasibility Study

Task 1—Identification of Project Concepts to be Evaluated Collect existing physical data, maps, and photographs pertaining to the project. Conduct an issues workshop with project stakeholders and meetings with stakeholders and agency representatives to define the problem and identify a range of potential alternative conceptual solutions and the criteria to evaluate the alternatives. Approximately three stakeholder/agency meetings will be held during Task 1.

Task 2—Environmental Reconnaissance and Site Assessments: Perform environmental reconnaissance surveys, including reconnaissance-level geotechnical, geomorphologic, and special-status species surveys. Conduct site assessments to identify and preliminarily evaluate alternatives and perform preliminary mapping and hydraulics analysis. Select a range of feasible alternative concepts to be further analyzed in Phase II. Detailed topographic surveys and geotechnical borings will be deferred to Phase II.

Task 3—Draft Data Collection and Monitoring Plan: The draft data collection and monitoring plan will preliminarily identify the types of data, data parameters, and approaches to data interpretation needed to evaluate the success of the project and contribute information that would assist CALFED in adaptively managing the Bay-Delta ERP. Development of this plan will continue through Phase II, when more information regarding the project will be available.

Task 4—Project Management: The project manager will coordinate the efforts of the Districts' engineering consultant's project team; make presentations at agency workshops, stakeholder meetings, and public meetings and hearings on the project; and manage the consultant team's project schedule and budget. **This task will continue for the duration of the project through all project phases. Costs have been apportioned among phases as appropriate.**

Deliverables: Technical memoranda on the problem, conceptual solutions, and alternatives evaluation criteria; the environmental reconnaissance surveys; and results of the site assessments; a technical memorandum describing the range of alternative concepts to be evaluated in Phase II; Draft Data Collection and Monitoring Plan

Phase II—Preliminary Design

Task 1—Identify and Evaluate Site-specific Alternatives: Refine conceptual alternatives. Develop conceptual site layouts and preliminary cost estimates for specific sites in the project area.

Task 2—Stakeholder Meetings: Conduct stakeholder meetings to help select and evaluate the site-specific alternatives. The entire range of potential solutions will be considered, including retrievable screens that can be removed from the channel during seasons when irrigation withdrawals do not occur.

Task 3—Initiate NEPNCEQA process: The NEPNCEQA process will be initiated to provide preliminary information on the environmental issues, constraints, and potential impacts associated with the project alternatives. This information will be developed in conjunction with preliminary design. It is anticipated that this task will result in an administrative draft environmental impact document.

Task 4—Preliminary design: Provide preliminary design for the feasible alternatives using such criteria as environmental and other site conditions, flow rates, intake configurations, pumping rates and schedules, and constructibility. Refine preliminary cost estimates developed in Task 1.

Task 5—Produce Implementation Plan and Finalize Data Collection and Monitoring Plan: The implementation plan will identify anticipated permitting and environmental requirements and constraints, provide an implementation schedule, and discuss potential funding options. The Data Collection and Monitoring Plan will provide details on the types of data, how it will be collected, and approaches to data interpretation for evaluating the effectiveness of the project in reducing or eliminating entrainment losses associated with the diversions.

Task 6—Summary Preliminary Design Report: Prepare a report summarizing the alternatives and showing preliminary designs, site layouts, and cost estimates.

Task 7—Project Management: Ongoing from Phase I.

Deliverables: Technical memoranda presenting preliminary designs and cost estimates for the alternatives; administrative draft NEPNCEQA document; final Implementation Plan and Data Collection and Monitoring Plan; Preliminary Design Report

Phase III—Final Design

Task 1—Environmental Documentation: The NEPNCEQA document initiated during Phase II will be finalized. Conduct public outreach campaign in compliance with NEPA and CEQA requirements.

Task 2—Final Design: The preferred alternative will advance to final design. Plans, specifications, and engineer's cost estimate will be developed and prepared for solicitation of construction bids.

Task 3—Permitting: All permits and approvals identified in the Implementation Plan will be secured.

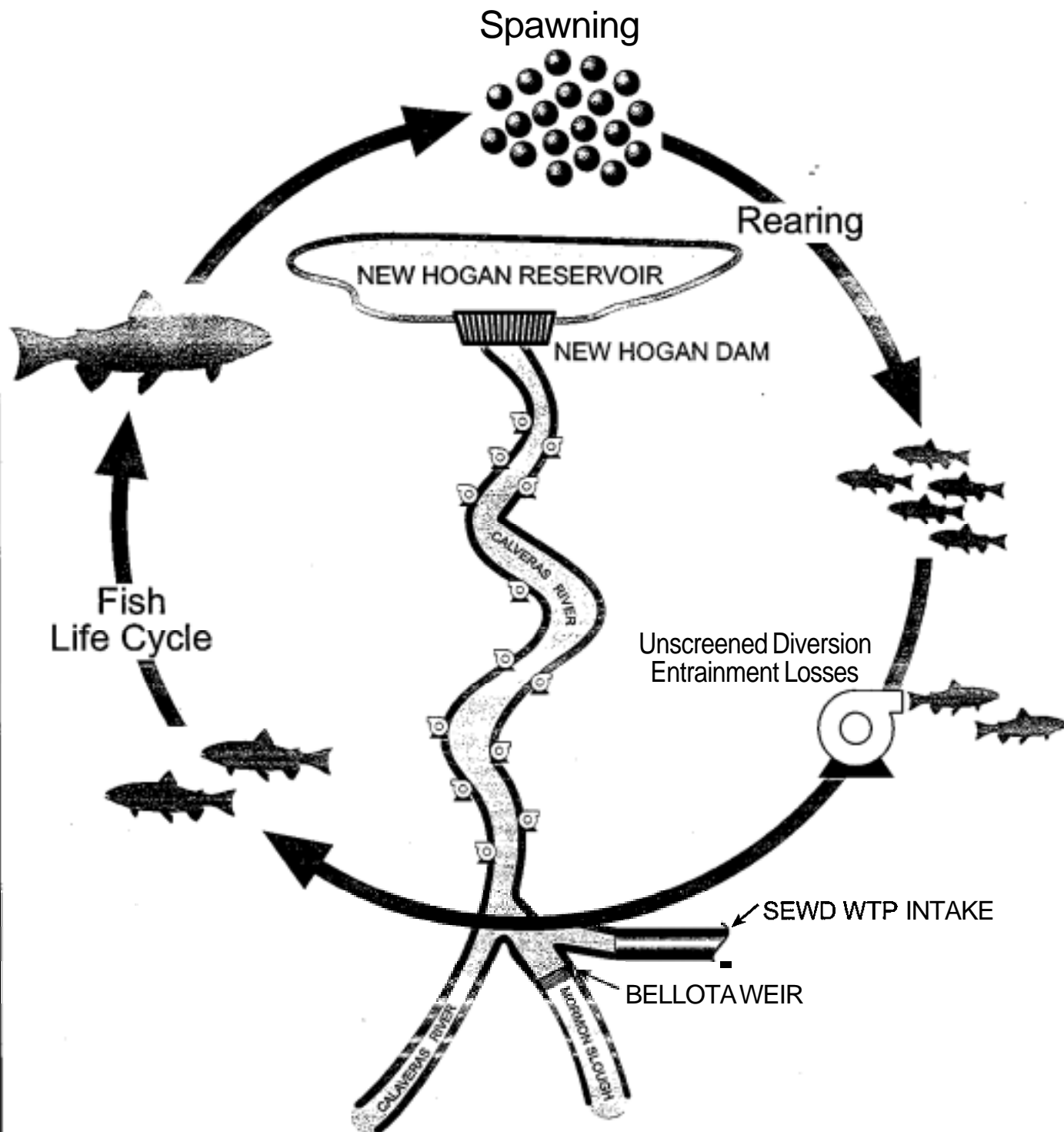
Task 4—Bidding: A complete set of contract documents will be produced to allow for soliciting construction bids in a competitive bidding process.

Task 5—Project Management: Ongoing from Phases I and II.

Deliverables: Draft and Final NEPA/CEQA documents; plans, specification, and estimates; documentation for permit applications

Phase IV—Construction and Environmental Mitigation

Spawning and rearing habitat for salmonids now exists
between New Hogan Dam and the Bellota Weir.



Unscreened diversions operating in salmonid and resident fish spawning
and rearing areas will reduce entrainment losses.

FIGURE 2
CONCEPTUAL MODEL OF OVERALL PROJECT
CALFED GRANT APPLICATION
SEWD AND CCWD FISH SCREENS

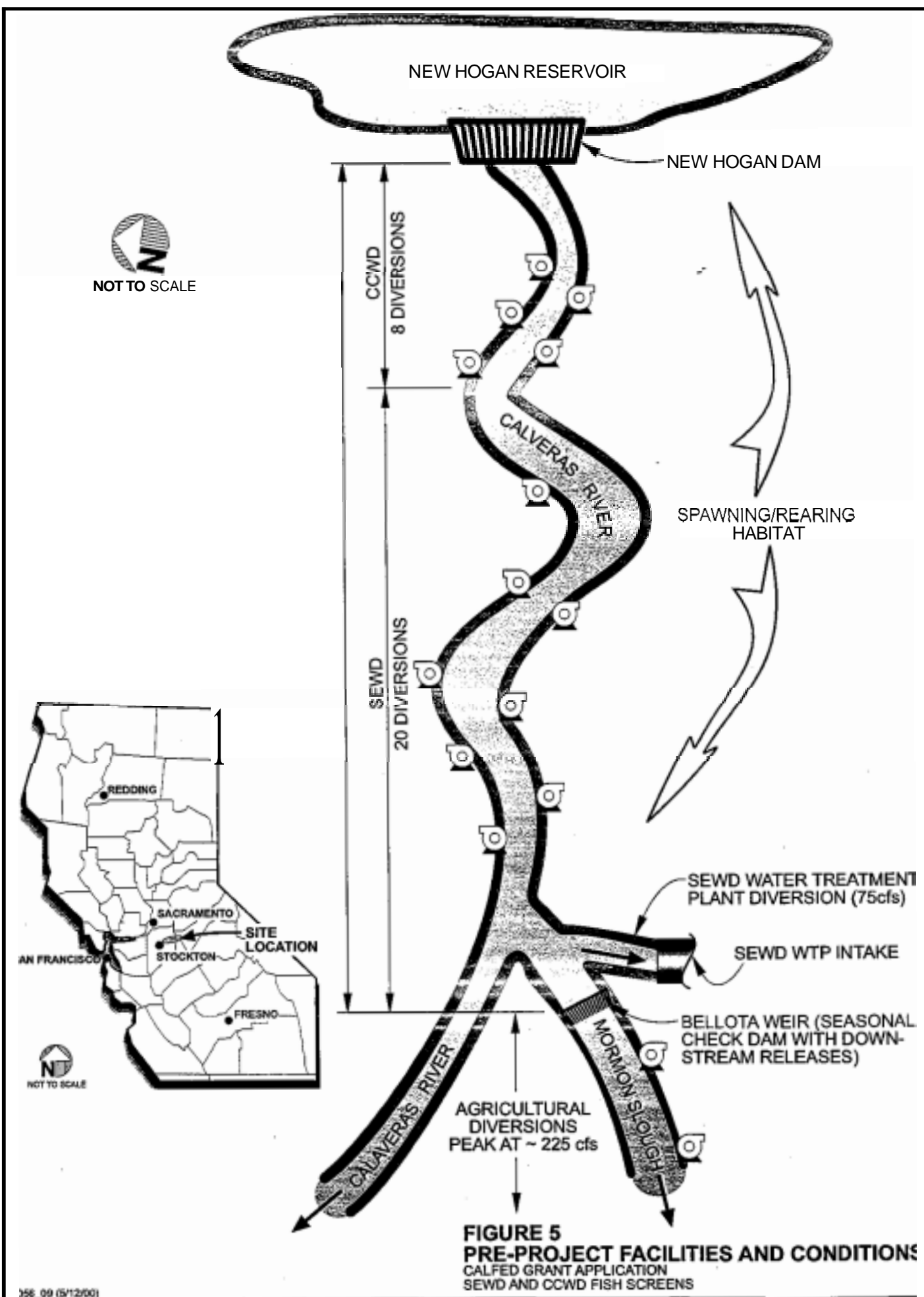


NOT TO SCALE

FIGURE 3
PROJECT PHOTO
CALIFED GRANT APPLICATION
SEWD AND CCWD FISH SCREENS



FIGURE 4
BELLOTA WEIR
CALFED GRANT APPLICATION
SEWD AND CCWD FISH SCREENS



Applicability to CALFED ERP Goals and CVPIA

ERP Goals and CVPIA Priorities

The project is explicitly linked to **CALFED** ecosystem quality goals of achieving recovery of at-risk native species and maintaining and enhancing their populations. The project also will contribute to the goals set forth in the USFWS Anadromous Fish Restoration Program (USFWS, 1997). The CALFED ERPP (Volume II, February 2000, page 370) states that attaining the CALFED vision for the Eastside Delta Tributaries Ecological Zone includes “cooperatively developing and implementing a phased fish screening program” and performing engineering feasibility and design studies to improve fish passage at diversion structures.” The proposed project addresses these goals through CALFED Class III Target 1 for ‘Water Diversion’ stressors and Programmatic Action 1C, “Evaluate the feasibility of installing state-of-the-art screens on small pump diversions” and Programmatic Action 1D, “Develop a cooperative program to operate temporary screens at diversions where juvenile salmon rear or during seasons when they pass the diversion site” (CALFED ERPP, Volume II, February 1999, page 380). The project also relates to Programmatic Action 1E relating to diversion structure stressors, “Develop a cooperative program to install fish passage facilities at Bellota Weir” (CALFED ERPP, Volume II, February 1999, page 381). The project will contribute to reducing conflicts between beneficial uses of Calaveras River water, including agricultural and M&I uses and sustaining fisheries.

Providing fish screens on diversions will benefit any fall-run chinook salmon. In discussing conditions that affect fisheries in the Calaveras River, the CALFED ERPP (Volume II, February 2000, page 365) states, “Another limiting factor is loss of juvenile salmon into water diversions downstream of New Hogan Dam.” As this statement indicates, the juvenile salmonids that would most benefit from the proposed project.

Relationship to Other Ecosystem Restoration Projects

As noted immediately above, this project relates directly to ERP goals, targets, and programmatic actions for the Calaveras River and the CVPIA Anadromous Fish Restoration Program administered by the USFWS. The project also synergizes with CDFG’s Salmon, Steelhead Trout and Anadromous Fisheries Program Act (SB 2261).

Requests for Next-phase Funding

This proposal is NOT a request for next-phase funding.

Previous Recipients of CALFED or CVPIA Funding

SEWD has not received previous CALFED or CVPIA funding.

System-wide Ecosystem Benefits

According to the CALFED **ERPP** (Volume II, February 2000, page 370), “Long-term efforts that will enhance the vision for the Eastside Delta Tributaries Ecological Zone and provide durable ecosystem restoration involve developing and implementing watershed management plans.” Another important

enhancement element includes reducing entrainment at diversions. The proposed fish screening project directly addresses this action. SEWD and CCWD participate in programs aimed at both fish screens and developing a watershed management program. The Districts are currently consulting with federal and state regulators to identify possible changes in the operation of New Hogan Dam and to initiate enhancement actions in the watershed to protect any threatened and endangered species and ensure reliable water supplies for the District. Formal Endangered Species Consultations may be initiated after the proposed NMFS 4(D) rules for Central Valley steelhead protection become final in June 2000. During the irrigation season, the SEWD controls releases from New Hogan Reservoir and is presently operating under a NMFS-approved interim operating plan designed to protect several potential spawning and rearing areas in the river and to prevent stranding of juvenile fish resulting from rapid flow changes relating to reservoir operations. SEWD and CCWD are conducting a Calaveras River Watershed Study with funding support by the SWRCB. SEWD also has retained a fisheries consultant to undertake fisheries investigations and monitoring. These efforts, and this proposal, all demonstrate the commitment of SEWD and CCWD to screen their diversions and operate the District in a way that is compatible with the Calaveras River fisheries.

Qualifications

Located at the 'heart of the Delta,' the Stockton East Water District is daily engaged with protecting its water rights; delivering water to three urban contractors that serve the City of Stockton; serving nearly 5,000 domestic, industrial, and agricultural customers; addressing issues associated with CVP, Bay-Delta, CVPIA, CALFED, ESA, federal, state, and local agencies; and all of the ongoing actions related to these issues and agencies. The District manages and administers a \$9 million annual budget and has successfully completed federal and state-funded projects.

CH2M HILL, one of the largest U.S. firms providing comprehensive engineering, scientific, economic, and planning expertise for large-scale, complex fishery and water resources projects, will provide consultant services to SEWD. CH2M HILL has served Reclamation, California Department of Water Resources (DWR), and numerous California water and irrigation districts for more than 50 years and has designed intakes, pump stations, fish screens, and other water resources and fisheries management facilities in the Sacramento-San Joaquin Basin.

Staff Organization and Key Project Personnel

As shown on the organization chart, Figure 6, Kevin Kauffman, **SEWD** General Manager, will administer the contract jointly with CCWD and with the assistance of the Districts' staffs. The CH2M HILL consultant team will provide engineering, planning, scientific, and economic expertise.

Kevin Kauffman, P.E., SEWD General Manager and Contract Administrator; Jeanette Thomas, Assistant General Manager

The District's General Manager, Kevin Kauffman, and Assistant General Manager, Jeanette Thomas, are both qualified to manage and administer this ecosystem restoration grant. Their education, training, and experience include operating and maintaining a public water district that serves agricultural and M&I customers. Their abilities and the work of their support staff will provide the assistance and service needed to effectively administer the proposed work. Mr. Kauffman has experience overseeing the planning and construction of large public works projects.

Simon Granville, CCWD General Manager; Director of Regulatory Affairs, James Cornelius, P.E.

The District's General Manager, and Director of Regulatory Affairs are both qualified to manage and administer this ecosystem restoration grant. Their education, training, and experience include operating and maintaining a public water district that serves agricultural and M&I customers. They will provide regulatory and technical administrative support to SEWD.

Darryl Hayes, P.E., Consultant Team Project Manager **B.S., Civil Engineering; Registered Civil Engineer: California**

Darryl Hayes has more than 16 years of civil engineering experience with an emphasis on fisheries engineering. As DWR's Chief of the Fish Facilities Section for over 6 years, he represented the DWR on fish passage issues and developed several fish screen projects. He was DWR's technical representative on several fish screen programs, including the CVPIA Anadromous Fish Screen Program, Red Bluff Fish Passage Program, Glenn-Colusa Irrigation District's Fish Screen, Contra Costa Water District's Rock Slough Fish Screen, and Reclamation District 108's Wilkins Slough Positive Barrier Fish Screen.

Dave Christophel, Environmental and NEPNCEQA***M.S., B.S., Biological Sciences***

Dave Christophel has more than 14 years of fisheries and aquatic ecology experience, with expertise in salmonid habitat quality and instream flow needs. He has participated in numerous fisheries studies and impact evaluations for clients with projects affecting Central Valley rivers and managed the preparation of numerous NEPNCEQA documents. He is project manager for the City of Sacramento's Water Facilities Expansion Project EIR, which addresses diversions from the American and Sacramento rivers and potential impacts to resident and anadromous fishes. Mr. Christophel recently analyzed terrestrial and aquatic impacts and conducted agency consultations associated with an EIR/EIS for a fish screen improvement project on the Sacramento River that focused on avoiding or minimizing potential impacts to winter-run chinook salmon.

Ron Fehringer, P.E., Fish Passage Engineering***M.S., B.S., Agricultural Engineering; Registered Professional Engineer: California***

Ron Fehringer's has managed a variety of fisheries restoration design projects, including Phases I and II of Anderson-Cottonwood Irrigation District's Sacramento River Fish Passage Improvement Project. For the Butte Creek Water Supply and Fish Passage Plan, he characterized water rights associated with Butte Creek and met with water users to assess their existing diversions and future water needs. He developed a conceptual design for alternate water delivery means to compare water supply and fish passage alternatives for Reclamation. Mr. Fehringer managed preliminary and final design and construction management for the Western Canal Water District's award-winning Butte Creek Siphon and Dam Removal project to improve fish passage in Butte Creek and water supply reliability for District customers.

Mark Tompkins, Hydraulics investigation***MS., Environmental Engineering; B.S., Civil Engineering***

Mark Tompkins has experience in hydrology/hydraulics and geomorphologic analyses for fisheries engineering projects. He performed HEC-RAS modeling for a proposed Sacramento WTP intake and fish screen that contributed to siting the intake tower. He helped analyze water availability in San Joaquin River tributaries for the USFWS and ran complex spreadsheet models on historical hydrological information for the San Joaquin system to prioritize the acquisition of fisheries flows. Mr. Tompkins assisted in managing a CALFED project identifying a flow regime to restore geomorphic processes in a Sacramento River reach to restore both riparian and aquatic habitat.

John Livingston, P.E., Geotechnical Engineering***M.S., B.S., Civil Engineering; Registered Geotechnical Engineer: California; Registered Professional Engineer: California, Arizona, Nevada, Colorado***

John Livingston has 25 years of geotechnical experience that including fisheries engineering facilities. He was lead geotechnical engineer for the Reclamation District 108 Fish Screen Project, the M&T Ranch Sacramento River pump station and fish screen, and the Glenn-Colusa Irrigation District's 3,000-cfs Sacramento River intake, pump station, and fish screen preliminary design. He also was lead geotechnical engineer for the Anderson-Cottonwood Irrigation District's new fish screen and fish ladder project on the Sacramento River in Redding and the award-winning Butte Creek Siphon and Dam Removal Project for Western Canal Water District in Butte County, which addressed anadromous fish passage and water supply reliability.

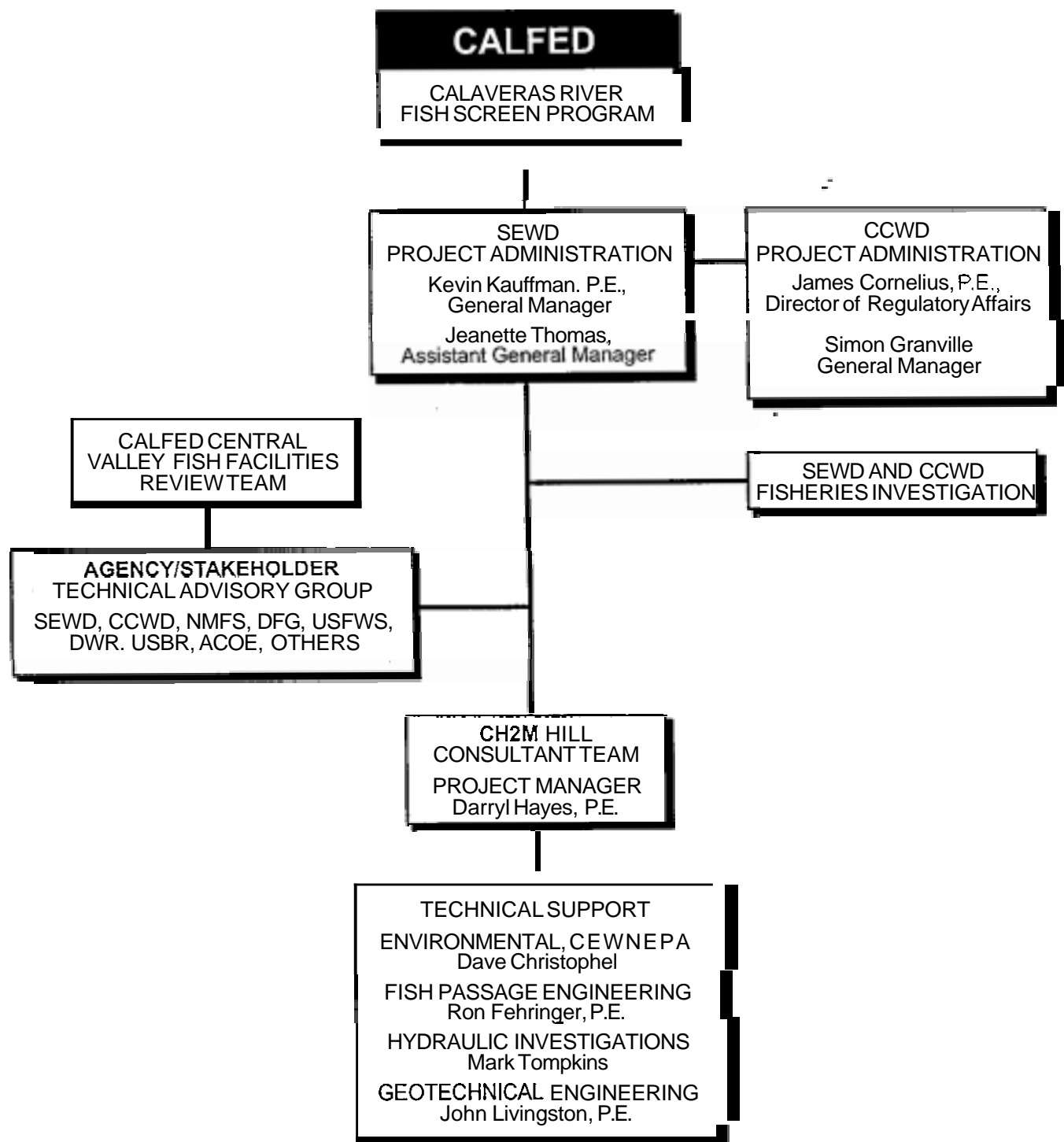


FIGURE 6
PHASE I AND II
PROJECT ORGANIZATION
CALFED GRANT APPLICATION
SEWD AND CCWD FISH SCREENS

cost

Budget

The SEWD and CCWD Fish Screen Facilities – Calaveras River Project may ultimately result in the construction of more than \$6 million in fish screen facilities and channel improvements between New Hogan Dam and the Bellota Weir. SEWD and CCWD do not currently have the financial resources to implement this project and seek CALFED assistance to initiate the first two project phases. Additional funding for the final design and construction will be sought from CALFED and other available sources, including the CVPIA Anadromous Fish Screen Program.

This proposal addresses Phases I and II of the overall project. Phase I consists of alternatives development, feasibility investigations, data collection, monitoring plan development, and agency and stakeholder involvement. During Phase II, a preferred alternative will be selected and preliminary design and cost estimates will be completed. Environmental documentation appropriate for the selected alternative will also be initiated and an administrative draft prepared.

The majority of the cost associated with this project will be incurred through a subcontract to SEWD's consulting engineer, CH2M HILL. This proposal identifies CH2M HILL as the sole-source contractor due to the firm's expertise and knowledge of the project area and experience in preparing engineering plans and specifications for fish protective facilities and addressing river restoration, fisheries, and environmental issues. In Phases I and II, the applicant (SEWD and CCWD) will incur program management and administration costs outside normal operations; however, as part of the cost-share, these costs will be borne by the Districts. A breakdown of the Phase I project costs by task is provided in Table 2. A project timeline that includes funding needs by task and phase is shown on Figure 7.

Cost-sharing

Costs associated with contract administration or related study efforts by the district are not shown in Table 2. The Districts will assume costs associated with contract administration. The SEWD and CCWD general managers or their representatives will attend all meetings where the project is discussed, review all deliverables, lead the public and stakeholder outreach efforts, coordinate the efforts of the project engineering consultant team, and provide the required status reports to CALFED. The cost of these activities is estimated at \$10,000 for project Phases I and II. The Districts also will assume responsibility for O&M costs associated with any facilities to be constructed as a result of this project. SEWD is also currently funding fishery investigations in the Calaveras river from New Hogan Dam to the Confluence with the San Joaquin River. CCWD is planning to fund fisheries investigations above and below New Hogan Dam that will contribute to this effort also. Total funding for these related efforts from the two Districts will exceed \$100,000. Watershed planning for the entire Calaveras River basin is being funded by the SWRCB. SEWD and CCWD are jointly administering this effort.

Table 2 - Cost Breakdown for Phases I and II

Year/Phase	Task	District Salary/Benefits/Overhead /Direct Costs	Service Contracts	Total	Total Estimated Annual Needs
2001/Phase I	1	0	\$60,000	\$60,000	
	2	0	\$95,000	\$95,000	-
	4	0	\$20,000	\$20,000	
				Phase I/Year 2001	\$175,000
2002/Phase I	3	0	\$30,000	\$30,000	
	4	0	\$5,000	\$5,000	
				Phase I/Year 2002	\$35,000
				<u>Total Phase I</u>	<u>\$210,000</u>
2002/Phase II	1	0	\$25,000	\$25,000	
	2	0	\$25,000	\$25,000	
	3	0	\$150,000	\$150,000	
	4	0	\$120,000	\$120,000	
	7	0	\$32,000	\$32,000	
				Phase II/Year 2002	\$352,000
2003/Phase II	4	0	\$60,000	\$60,000	
	5	0	\$20,000	\$20,000	
	6	0	\$20,000	\$20,000	
	7	0	\$8,000	\$8,000	
				Phase II/Year 2003	\$108,000
				<u>Total Phase II</u>	<u>\$460,000</u>
				Total Phases I and II	\$670,000

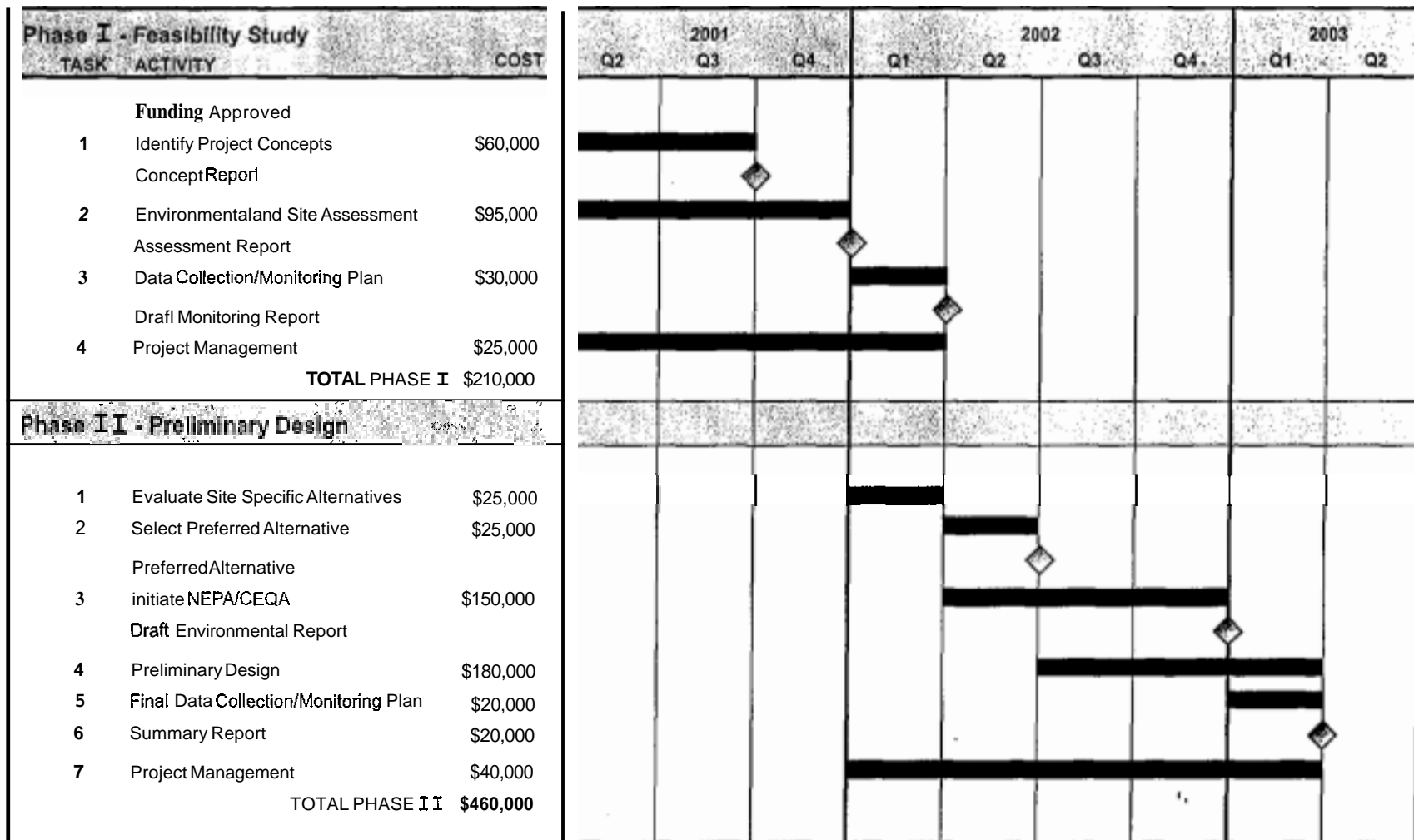


FIGURE 7
PROJECT SCHEDULE
 CALFED GRANT APPLICATION
 SEWD AND CCWD FISH SCREENS

Local Involvement

Local Government Coordination

Letters are attached that indicate that the Districts notified the San Joaquin and Calaveras County Boards of Supervisors and Planning Departments of the project and transmitted this proposal to those entities.

Local Interest Group/Affected Parties Awareness

Support for the proposed fish screen installations is widespread and funding support from other sources is being pursued. CAL Trout, the Fish Foundation of California, Lake Hogan Conservancy, and local governments are behind the Districts and wish to work cooperatively toward river enhancement with the SEWD and CCWD. SEWD and CCWD are also currently supporting fisheries investigations and habitat assessments related to this effort through a fisheries consultant. SEWD and CCWD have notified their water users of the need for fish screens on their diversions and have access to the diversions for site assessments and feasibility investigations through maintenance agreements with the diverters. In Phases III and IV, easements will be secured, as necessary, to modify diversions.

Public Outreach Plan

Affected and interested parties will be notified through the local media, as well as through the public notification and involvement requirements of NEPA and CEQA. New and innovative public notification media, such as a project web page, will be considered. SEWD publishes a newsletter that reaches approximately 5,000 households, agricultural, and M&I customers. SEWD also has a public access website. CCWD also provides a newsletter to its customers. Through these media, the Districts intend to keep their constituents and the general public informed about the project. In Phase I, three workshops will be conducted by SEWD, CCWD, their engineering consultant, and the participating agencies to discuss potential screening and related solutions. During Phase II, stakeholder meetings will be held to screen and evaluate project alternatives. As described under Phase III, Task 1, development of the NEPNCEQA document, including the identification and screening of project alternatives, will involve public outreach. The NEPNCEQA process will include multiple public meetings and hearings, and the public will have an opportunity to provide scoping input and review and comment on the environmental impact document. The project team will focus on building a consensus among the key interested parties, recognizing that there are a number of perspectives on how the objectives of the project can be effectively accomplished.

Potential Third Party Impacts/Benefits

Mormon Slough acts as a flood channel for Calaveras River flows downstream of Bellota. The Districts will coordinate with the U.S. Army Corps of Engineers to ensure that flood impacts do not occur during construction at the Bellota weir. The Districts' customers will benefit from greater reliability of the water delivery system. Mormon Slough users will benefit if all diversions in the slough are screened upstream near Bellota weir. No land takes are anticipated. All of the diversions are operated by District customers, who are aware of the need and benefits of screening.

Compliance With Standard **Terms** and Conditions

SEWD will comply with all standard terms and conditions stated in the PSP.

Literature Cited

California Department of Fish and Game. 1997. *Fish Screen Criteria*. April.

California Department of Fish and Game. 1993. *Restoring Central Valley Streams: A Plan for Action*. November.

CALFED. 1999. Revised Draft *Ecosystem Restoration Program Plan, Volume II: Ecological Management Zone Visions*. February.

CALFED. 1999. *Strategic Plan for Ecosystem Restoration*. February.

National Marine Fisheries Service. 1997. *Fish Screening Criteria for Anadromous Salmonids*. NMFS Southwest Region. January.

United States Fish and Wildlife Service. 1997. *Revised Draft Restoration Plan for the Anadromous Fish Restoration Program: A Plan to Increase Natural Production of Anadromous Fish in the Central Valley of California*. May.

Threshold Reaquirements

Letters of Notification

Environmental Compliance Checklist

Land Use Checklist

Contract Forms

RESOLUTION NO. 99-00-18

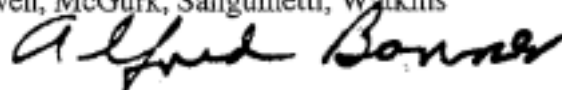
**A RESOLUTION OF THE BOARD OF DIRECTORS
OF THE STOCKTON EAST WATER DISTRICT
AUTHORIZING AN APPLICATION FOR THE CALFED ECOSYSTEM
RESTORATION PROJECTS GRANT PROGRAM**

WHEREAS, the district and the Calaveras County Water District (CCWD) are party to a U. S. Bureau of Reclamation (USBR) contract that provides the district its sole reliable surface water source, New Hogan Reservoir; and,
WHEREAS, per the USBR contract, the U. S. Army Corps of Engineers (Corps) is the water master of New Hogan Dam during flood control periods, and the district is the water master of New Hogan Dam during non-flood-control periods; and,
WHEREAS, the district and CCWD transmit released water from New Hogan Dam through the Calaveras River to their respective facilities; and,
WHEREAS, the district transmits municipal and industrial water from an area near the split of the Calaveras River and Mormon Slough at Bellota to its water treatment facilities in Stockton through a 54 inch diameter pipeline; and,
WHEREAS, such pipeline has an intake along the south shore of Mormon Slough that has at times been screened to prevent passage of fish and,
WHEREAS, approximately 28 diversions, possibly needed fish screens, exist in the Calaveras River between Bellota Weir and New Hogan Dam; and,
WHEREAS, recent possible sightings have been made in the Calaveras River of Endangered Species Act (ESA) 'threatened species', namely the Central Valley (CV) Steelhead Evolutionarily Significant Unit (ESU); and,
WHEREAS, the district desires to comply with the ESA and investigate, and possibly design and construct fish screens to prevent any 'take' of the CV Steelhead ESU; and,
WHEREAS, the CALFED Ecosystem Restoration Projects and Program in cooperation with the Central Valley Project Improvement Act (CVPIA) have requested proposals for possible funding of investigation, design and construction of fish screens; and,
WHEREAS, the district desires to apply for the CALFED and CVPIA funds,

NOW THEREFORE BE IT RESOLVED that the Board of Directors of the Stockton East Water District hereby authorize that proposal be made for the CALFED Ecosystem Restoration Program and Projects, and it is further resolved that its General Manager is hereby designated to sign this proposal on behalf of the Board of Directors

PASSED AND ADOPTED at the special meeting of the Board of Directors of Stockton East Water District on April 25, 2000 by the following vote:

Ayes:	Bonner, Giannecchini, Laven, McGurk, Sanguinetti, Watkins
Noes:	None
Absent:	Tone



ALFRED BONNER, President
Board of Directors. SEWD

ATTEST


KEVIN KAUFFMAN, Secretary



STOCKTON EAST WATER DISTRICT

DIRECTORS
GENGGIANNECCHINI
ANDREW WATKINS
JACK H. TONE
JACK LAVEN
PAUL SANGUINETTI
ALFRED B. BONNER
THOMAS MCGURK
KEVIN M. KAUFFMAN
GENERAL MANAGER
VIRGIL L. WILL
ASSISTANT MANAGER
JEANNE M. ZOLEZZI
GENERAL COUNSEL

6767 E. MAIN STREET P.O. BOX 5157 STOCKTON CA 95205-0157 209/948-0333 FAX 209/948-0423

May 15, 2000

Re: CALFED Ecosystem Restoration Program (ERP) – Transmittal of copy of SEWD
Proposal in Response to 2001 Proposal Solicitation Package (PSP)

To Whom It May Concern:

Enclosed **is** a copy of the above referenced proposal submitted in response to the CALFED ERP, 2001 PSP. **You** are hereby notified that the district has submitted such a proposal. The district appreciates any support you can provide for this proposal. Any comments for CALFED can be sent to:

CALFED Bay-Delta Program Office
1416 Ninth Street, Suite 1155
Sacramento, CA 95814

This district and the Calaveras County Water District (CCWD) are requesting a grant in the amount of \$670,000 to be provided over a two-year period for the investigation and preliminary design of fish screens for intakes located between New Hogan Dam and Bellota Weir.

Thank you for your consideration. Should you have any questions, please contact this office.

Sincerely,

Kevin M. Kauffman, P.E.
General Manager

Enclosure

Cc: Board of Directors
Urban Area Contractors
Calaveras County Water District
San Joaquin County Board of Supervisors
Calaveras County Board of Supervisors
San Joaquin County Planning Department
Calaveras County Planning Department
Mayor Gary Podesta, City of Stockton
Linden County Water District



STOCKTON EAST WATER DISTRICT

DIRECTORS
GENO GIANNACCINI
ANDREW WATKINS
JACK H. TONE
JACK LAVEN
PAUL SANGUINETTI
ALFRED B. SONNER
THOMAS MCGURK
KEVIN M. KAUFFMAN
GENERAL MANAGER
VIRGIL L. WILL
ASSISTANT MANAGER
JEANNE M. ZOLEZZI
GENERAL COUNSEL

6767 E. MAIN STREET P.O. BOX 5157 STOCKTON CA 95205-0157 2091948-0333 FAX 2091948-0423

May 10, 2000

XXXX
XXXX
XXXX

Subject: CAFED Ecosystem Restoration Grant Application

Dear:

Per our telephone conversation, this letter is intended to document the District's effort as referenced above. The District and Calaveras County Water District (CCWD) have submitted a joint grant application to CALFED to fund the eventual screening of all intakes above Bellota for the purpose of avoiding any take of fish listed as threatened or endangered species. Once the grant application has been approved by CALFED the District will schedule a meeting to discuss cooperation and implementation of a plan to eventually screen these intakes. Approval of funding is not expected in time to implement an installation plan during this irrigation season.

Recipients of this letter will be put on a list of "stakeholders" for this effort. Providing access to your intake site will need to be formalized before any construction begins. This access will be requested for the District and its agents only for purposes related to the intake.

The District intends to keep you informed through its Newsletter or the stakeholder process. Thank you for your cooperation with this effort. Please contact the office with any questions.

Very truly yours,


Kevin Kauffman
Kevin Kauffman
General Manager

Environmental Compliance Checklist

All applicants must fill out this Environmental Compliance Checklist. Applications must contain answers to the following questions to be responsive and to be considered for funding. Failure to answer these questions and include them with the application will result in the application being considered nonresponsive and not considered for funding.

1. Do any of the actions included in the proposal require compliance with either the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), or both?

X
YES

NO

2. If you answered yes to # 1, identify the lead governmental agency for CEQA/NEPA compliance.

BUREAU OF RECLAMATION, CORPS OF ENGINEERS ; OR SEWD
Lead Agency

3. If you answered no to # 1, explain why CEQA/NEPA compliance is not required for the actions in the proposal.

4. If CEQA/NEPA compliance is required, describe how the project will comply with either or both of these laws. Describe where the project is in the compliance process and the expected date of completion.

THE SCOPE OF WORK DETAILS THIS PROCESS & APPLICANT
IS COMMITTED TO COMPLIANCE.

5. Will the applicant require access across public or private property that the applicant does not own to accomplish the activities in the proposal?

X
YES

NO

If yes, the applicant must attach written permission for access from the relevant property owner(s). Failure to include written permission for access may result in disqualification of the proposal during the review process. Research and monitoring field projects for which specific field locations have not been identified will be required to provide access needs and permission for access with 30 days of notification of approval.

THE ATTACHED LETTER PROVIDES A SUMMARY OF CURRENT ACCESS
AUTHORITY AND MORE FORMAL AUTHORITY, AS THE FRO---
PROCEEDS. THIS FORMAL AUTHORITY SIMPLY DOCUMENTS CURRENT
AUTHORITY FOR FUTURE GENERATIONS.

Land Use Checklist

All applicants must fill out this Land Use Checklist for their proposal. Applications must contain answers to the following questions to be responsive and to be considered for funding. *Failure to answer these questions and include them with the application will result in the application being considered nonresponsive and not considered for funding.*

1. Do the actions in the proposal involve physical changes to the land (i.e. grading, planting vegetation, or breaching levees) or restrictions in land use (i.e. conservation easement or placement of land in a wildlife refuge)?--

YES

~~_____
NO~~

2. If NO to # 1, explain what type of actions are involved in the proposal (i.e., research only, planning only).

NO PHYSICAL CHANGES ARE PROPOSED IN PHASE I OR II.

3. If YES to # 1, what is the proposed land use change or restriction under the proposal?

4. If YES to # 1, is the land currently under a Williamson Act contract?

YES

~~_____
NO~~

5. If YES to # 1, answer the following:

Current land use

Current zoning

Current general plan designation

6. If YES to #1, is the land classified as Prime Farmland, Farmland of Statewide Importance or Unique Farmland on the Department of Conservation Important Farmland Maps?

YES

~~_____
NO~~

~~_____
DON'T KNOW~~

7. If YES to # 1, how many acres of land will be subject to physical change or land use restrictions under the proposal?

8. If YES to # 1, is the property currently being commercially farmed or grazed?

YES

~~_____
NO~~

9. If YES to #8, what are

the number of employees/acre

the total number of employees

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED 5/15/00	Applicant Identifier																												
3. DATE RECEIVED BY STATE		State Application Identifier																													
4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier																													
5. APPLICANT INFORMATION																															
Legal Name: Stockton East Water District Address (give city, county, State, and zip code): 6767 East Main Street Stockton, Ca 95215 San Joaquin County		Organizational Unit: Name and telephone number of person to be contacted on matters involving this application (give area code) evin Kauffman 209-7948-0333																													
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; padding: 2px;"> 94 -- 6000531 </div>		TYPE OF APPLICANT: (enter appropriate letter in box) G A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____																													
8. TYPE OF APPLICATION <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) A. increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		NAME OF FEDERAL AGENCY:																													
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; padding: 2px; text-align: center;"> XX - XX </div> TITLE:		1. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: etween Bellota Weir & New Hogan esevoir; investigate & design fish creens for approximately 29 diversions																													
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Calaveras & San Joaquin Counties		14. CONGRESSIONAL DISTRICTS OF: 11th																													
13. PROPOSED PROJECT Start Date Ending Date 04/2000 04/2003		a. Applicant Stockton East Water Dist b. Project SEWD-CCWD Fish Screen Facilities San Joaquin River																													
15. ESTIMATED FUNDING <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:20%;">a. Federal</td> <td style="width:10%;">\$</td> <td style="width:10%; text-align: right;">00</td> <td style="width:10%;"></td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td style="text-align: right;">670,000</td> <td style="text-align: right;">00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td style="text-align: right;">00</td> <td style="text-align: right;">00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td style="text-align: right;">10,000</td> <td style="text-align: right;">00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td style="text-align: right;">00</td> <td style="text-align: right;">00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td style="text-align: right;">00</td> <td style="text-align: right;">00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td style="text-align: right;">680,000</td> <td style="text-align: right;">00</td> </tr> </table>		a. Federal	\$	00		b. Applicant	\$	670,000	00	c. State	\$	00	00	d. Local	\$	10,000	00	e. Other	\$	00	00	f. Program Income	\$	00	00	g. TOTAL	\$	680,000	00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a. Federal	\$	00																													
b. Applicant	\$	670,000	00																												
c. State	\$	00	00																												
d. Local	\$	10,000	00																												
e. Other	\$	00	00																												
f. Program Income	\$	00	00																												
g. TOTAL	\$	680,000	00																												
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> "Yes," attach an explanation.		18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.																													
a. Type Name of Authorized Representative Kevin Kauffman		b. Title General Manager																													
c. Telephone Number 209-948-0333		d. Signature of Authorized Representative 																													
e. Date Signed 5-12-00																															

NONDISCRIMINATION COMPLIANCE STATEMENT

STD. 19 (REV. 3-95) FMC

COMPANY NAME

STOCKTON EAST WATER DISTRICT

The company named above (hereinafter referred to as "prospective contractor") hereby certifies, unless specifically exempted, compliance with Government Code Section 12990 (a-f) and California Code of Regulations, Title 2, Division 4, Chapter 5 in matters relating to reporting requirements and the development, implementation and maintenance of a Nondiscrimination Program. Prospective contractor agrees not to unlawfully discriminate, harass or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, disability (including HIV and AIDS), medical condition (cancer), age, marital status, denial of family and medical care leave and denial of pregnancy disability leave.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized to legally bind the prospective contractor to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California

Kevin Kauffman

OFFICIAL'S NAME

May 15, 2000

DATE EXECUTED

PROSPECTIVE CONTRACTOR'S SIGNATURE

EXECUTED IN THE COUNTY OF

San Joaquin

PROSPECTIVE CONTRACTOR'S TITLE

Stockton East Water District

PROSPECTIVE CONTRACTOR'S LEGAL BUSINESS NAME

NONCOLLUSION AFFIDAVIT TO BE EXECUTED BY BIDDER AND SUBMITTED WITH RID FOR PUBLIC WORKS

STATE OF CALIFORNIA

COUNTY OF San Joaquin)

Kevin Kauffman, being first duly sworn, deposes and
(name)

says that he or she is General Manager of
(position title)

Stockton East Water District
(the bidder)

the party making the foregoing bid that the bid is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation: that the bid is genuine and not collusive or sham: that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false sham bid, and has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham bid, or that anyone shall refrain from bidding: that the bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the bid price of the bidder or any other bidder. or to fix any overhead. profit, or cost element of the bid price, or of that of any other bidder, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the bid are true; and, further, that the bidder has not, directly or indirectly, submitted his or her bid price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company, association, organization, bid depository, or to any member or agent thereof to effectuate a collusive or sham bid.

DATED: 5/12/00

By Ben M. Schaffman
(person signing for bidder)

Subscribed and sworn to before me on

Virgil Lawrence Will
(Notary Public)

(Notarial Seal)



BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. <i>Fight School Facilities</i>		\$	\$	\$ <i>670,000.-</i>	\$ <i>10,000.-</i>	\$ <i>680,000.-</i>
2.						
3.						
4.						
5. Totals		\$	\$	\$ <i>670,000.-</i>	\$ <i>10,000.-</i>	\$ <i>680,000.-</i>

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	\$	\$	\$	\$ <i>6,000.-</i>	\$ <i>6,000.-</i>
b. Fringe Benefits				<i>2,000.-</i>	<i>2,000.-</i>
c. Travel				<i>300.-</i>	<i>300.-</i>
d. Equipment				<i>0.-</i>	<i>0.-</i>
e. Supplies				<i>1,500.-</i>	<i>1,500.-</i>
f. Contractual			<i>670,000.-</i>	<i>0.-</i>	<i>670,000.-</i>
g. Construction				<i>0.-</i>	<i>0.-</i>
h. Other				<i>200.-</i>	<i>200.-</i>
i. Total Direct Charges (sum of 6a-6h)				<i>10,000.-</i>	<i>680,000.-</i>
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$ <i>670,000.-</i>	\$ <i>10,000.-</i>	\$ <i>680,000.-</i>
7. Program Income	\$	\$	\$	\$	\$

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ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify for additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

BUDGET INFORMATION - Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	5 10,000 .00	5 .00	5 10,000 .00
2. Land, structures, rights-of-way, appraisals, etc.	\$.00	\$.00	5 .00
3. Relocation expenses and payments	\$.00	\$.00	\$.00
4. Architectural and engineering fees	\$ 670,000 .00	\$.00	\$ 670,000 .00
5. Other architectural and engineering fees	\$.00	\$.00	\$.00
6. Project inspection fees	\$.00	\$.00	\$.00
7. Site work	5 .00	\$.00	\$.00
8. Demolition and removal	\$.00	\$.00	5 .00
9. Construction	\$.00	5 .00	5 .00
10. Equipment	\$.00	5 .00	5 .00
11. Miscellaneous	\$.00	\$.00	\$.00
12. SUBTOTAL (sum of lines 1-71)	\$ 680,000 .00	5 .00	\$ 680,000 .00
13. Contingencies	\$.00	5 .00	5 .00
14. SUBTOTAL	\$ 680,000 .00	\$.00	5 680,000 .00
15. Project (program) Income	\$.00	\$.00	\$.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ 680,000 .00	\$.00	\$ 680,000 .00
FEDERAL FUNDING			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c Multiply X 100 %		\$ 680,000 .00

U.S. Department of the Interior

Certifications Regarding Debarment, Suspension and
Other Responsibility Matters, Drug-Free Workplace
Requirements and Lobbying

Persons signing this form should refer to the regulations referenced below for complete instructions:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, **in all** lower tier covered transactions and in all solicitations for lower tier covered transactions. See below for language to be used; use this form for certification and sign; or use Department of the Interior Form 1954 (DI-1954). (See Appendix A of Subpart D of 43 CFR Part 12.)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions - (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements - Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12.)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

PART A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters -
Primary Covered Transactions

CHECK ☒ IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -
Lower Tier Covered Transactions

CHECK ☒ IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

DI-2010
March 1995
(This form consolidates DI-1953, DI-1954,
DI-1955, DI-1956 and 01-19631)

PART E: Certification Regarding Lobbying
Certification for Contracts, Grants, Loans, and Cooperative Agreements

CHECK ☒ IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND THE AMOUNT EXCEEDS \$100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT, SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.

CHECK ☒ IF CERTIFICATION IS FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF \$150,000. OR A SUBGRANT OR SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.

The undersigned certifies, to the best of his or her knowledge and belief, that: -

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

Kevin M. Kauffman

PRINTED

TYPED NAME AND TITLE

KEVIN M. KAUFFMAN, GENERAL MANAGER

5-15-00

DI-2010

March 1995

(This form consolidates DI-1953, DI-1954,

DI-1955, DI-1956 and DI-1963)